

Naval Inspector General



Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



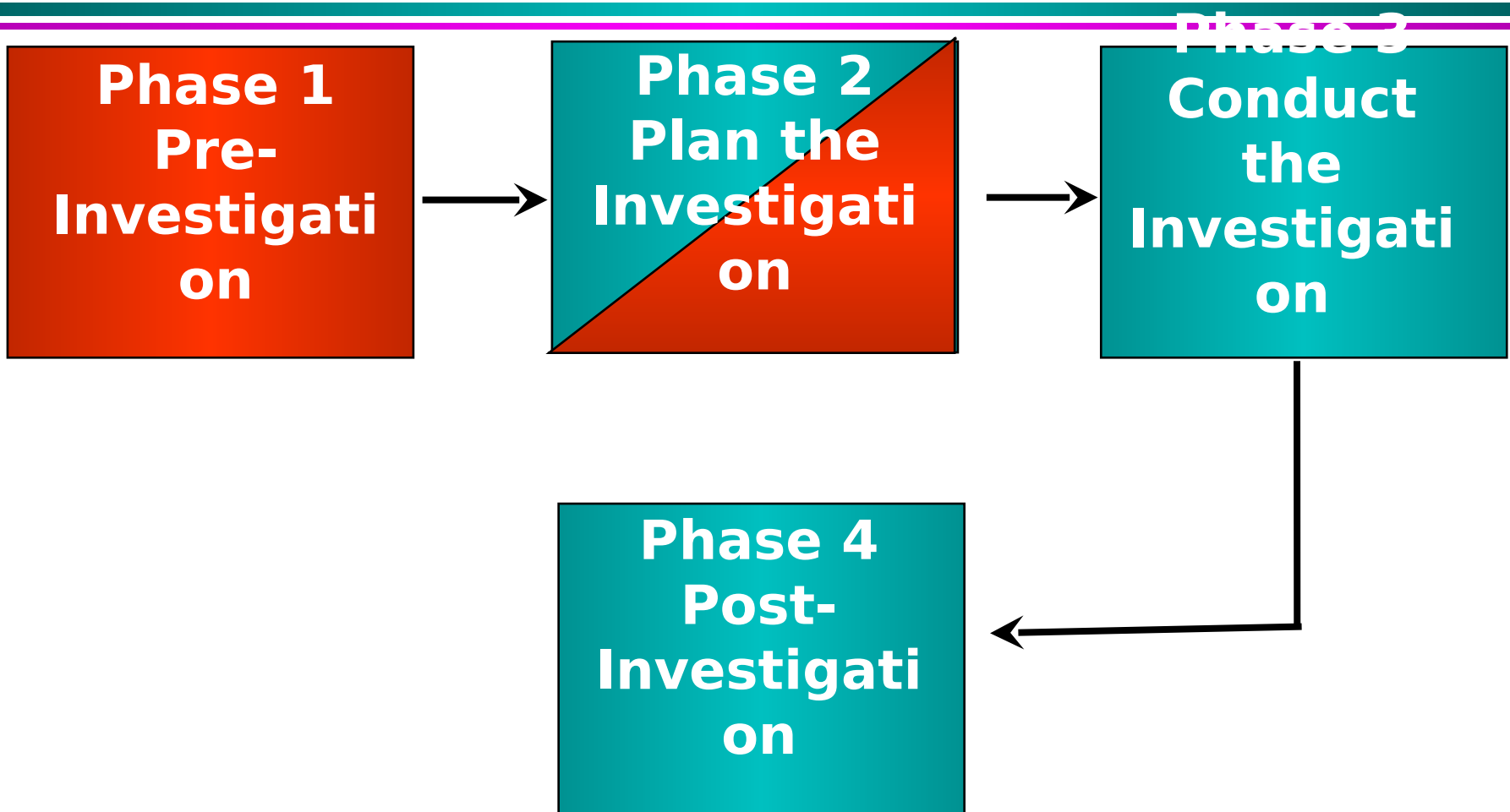
Phase 2: Plan the Investigation

Enabling Learning Objectives

- Explain who should be assigned to conduct an investigation and why
- Describe how to mentor an IO
- Develop and maintain an Investigation Plan



Phase 2: Plan the Investigation Complaint Resolution Procedure





Phase 2: Plan the Investigation Complaint Resolution Procedure

Phase 1: Pre-Investigation

- **Receive the Complaint**
- **Analyze the Complaint**
- **Determine the Action**
- **Draft the Allegation(s)**
- **Notify the Complainant**

Phase 2: Plan the Investigation

- **Assign the IO**
- **Mentor the IO**
- **Prepare & Maintain the Plan**

Phase 3: Conduct the Investigation

- **Gather Information**
- **Interview**
- **Write the Report**

Phase 4: Post-Investigation

- **Conduct Quality Review of the Report**
- **Notify Complainant & Subject**
- **Prepare the Case File for Closing**



Let's Review

- Read the complaint thoroughly
- Consult SMEs, JAG, OGC
- Research the standards
- Determine the appropriate action
- Draft the allegations in the proper format
- Notify the complainant of the intended action



Phase 2: Plan the Investigation Complaint Resolution Procedure

Phase 2: Plan the Investigation

➡ **Assign an Investigating Officer**

Mentor and Train the IO
(Establish Partnership –
Investigation Team)

Prepare & Maintain the
Investigation Plan



Assign an Investigating Officer

Independence

- Independence – critical to ensure IO is:
 - Free from bias
 - Free from command influence
 - Senior to subject (exception: positional authority, i. e., IG)
 - Neutral / Objective
 - Professional
 - Certified



Assign an Investigating Officer Trained & Certified

- Online training & Basic Navy IG Course
- Annual Certification Requirements - NAVINSGEN
 - Training
 - Investigators w/ equal to or greater than 2 years experience
 - 10 hrs course instruction per year, which may consist of self-paced training or completion of a book related to conducting administrative investigations.
 - Lead 2 hotline investigations per year
 - Investigators w/ less than 2 years experience
 - 20 hrs course instruction per year, which may consist of self-paced training or completion of a book related to conducting administrative investigations.
 - Experience
 - Assist or lead 2 hotline investigations per year



Assign an Investigating Officer

Appointing Ltr v. Credentials

Appointing Letter – 1 time or infrequent investigator

- Authorizes individuals to:
 - Conduct investigations
 - Interview witnesses
 - Collect information / Gain access to records
- States investigation is IO's only duty
- Establishes time allowed to complete investigation
- Restricts release of records

Credentials – part or full-time investigator

- Authorizes individuals to:
 - Conduct investigations
 - Interview witnesses
 - Collect information / Gain access to records
- * Tasking authority establishes due dates



Assign an Investigating Officer

Some Good News



Who conducts IG investigations?

- A. An IG
- B. An IG staff member
- C. A NAVINSGEN / IG trained Investigating Officer
- D. Other Navy personnel (1-time investigators)



Phase 2: Plan the Investigation

**Phase 2:
Plan the
Investigati
on**



Assign an Investigating Officer

**Mentor and Train the IO
(Partnership - Investigation Team)**

Prepare the Investigation

Plan

Maintain the Plan



Mentor and Train the IO Partnership - Investigation Team

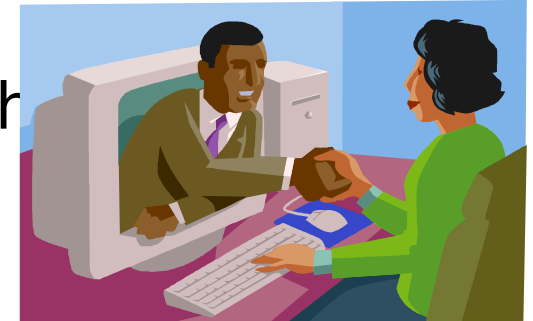
- Consists of experienced IG investigator (Mentor)
- Investigating Officer (IO)
- Staff Judge Advocate / Office of General Counsel / Legal Officer / Subject Matter Expert
- Administrative support



Mentor and Train the IO

1st Meeting

- Recommend 2 meetings between experienced investigator (mentor) and IO w/in 1 week of tasking
- Mentor's roles – Set up 1st meeting with
 - In person / telephone
 - Explain overall process
 - Advise IO of 60-day completion requirement
 - Ensure IO understands his / her responsibility for any rework items

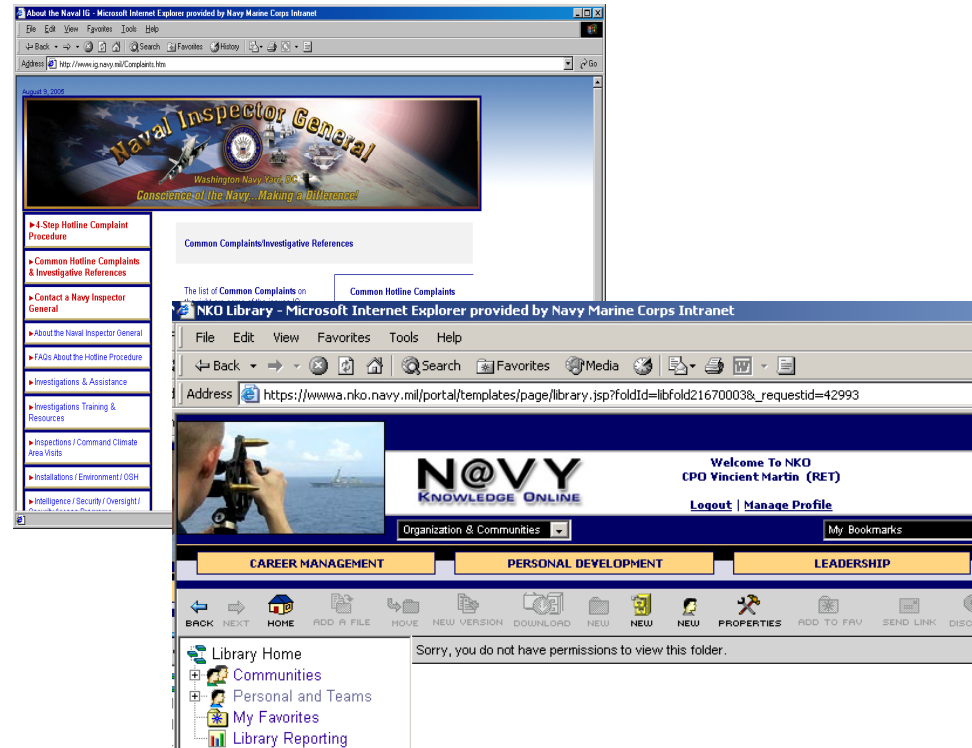




Mentor and Train the IO Resources

Mentor's role

- Inform IO about available resources
 - NKO online IG investigation training & webpage
 - Investigations Guide
 - Investigations Manual
 - NAVINSGEN website
 - Templates
 - Investigative references





Mentor and Train the IO Training

Mentor's role is to provide IO one-on-one assistance with the following areas:

- Complaint analysis
- Drafting the allegation
- Investigation Plan – Approve the Plan
- Investigation Report formats (IR and LR)
- Post-Investigation Checklist
- Corrective action requirements



Let's Review

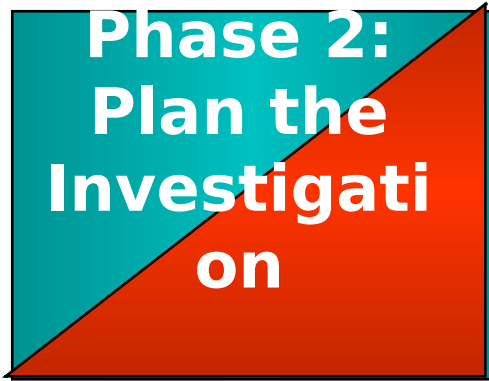
- Assign an Investigating Officer
- Mentor and Train IO – (Establish Partnership / Investigation Team)

What next? Investigation Plan



Phase 2: Plan the Investigation

Complaint Resolution Procedure



Assign an Investigating Officer

Mentor and Train the IO
(Partnership – Investigation Team)

Prepare the Investigation Plan

Maintain the Plan

Slide



Investigation Plan

It's your roadmap!





What is the Plan?

- **Written** outline
- Checklist
- Updated continually
(keep a dated copy of every revision)
- Minimum requirements of the Plan
 - List of allegations
 - List of witnesses

1. **ALLEGATIONS**

- a. SOURCE OF ALLEGATIONS
- b. ALLEGATIONS LIST
 - (1)
 - (2)

2. **BACKGROUND**

- a. RELEVANT STATUTES/DIRECTIVES/REGULATIONS/POLICIES

Rule/Regulation	Topic	Elements of Proof

- b. PREVIOUS INVESTIGATIONS

- c. ORIGIN OF THE COMPLAINT

3. **EVIDENCE**

- a. DOCUMENT LIST

Document	Location	Date Obtained	Comments

- b. INTERVIEW LIST

Name	Command/ Position	Phone	Category	Date Interviewed	Comments

- c. INTERVIEW SEQUENCE PLAN



Elements of the Plan

What are the Elements of an Investigative Plan?

- Interview Sequence Plan
- Interview List (Witness List)
- Contact List
- Notification List
- Document List
- Allegations List
- Chronology of Events
- Logistical Plan
- Background Information
- Outline of Proof





Elements of the Plan

Interview Sequence Plan

- Order you intend to conduct interviews
 - Complainant first – subject last
- Obtain documents prior to interview
- **Remember**, subject's rights under Privacy Act





Elements of the Plan

Interview Sequence Plan

- Comments about the witnesses, e.g., friendly, neutral, adverse
- Tentative questions for each witness
- List of the documents you intend to obtain from witnesses

Sample Interview Plan (Combined Interview Sequence Plan, Notification List, and Contact List)				
ORDER	INTERVIEWEE	CATEGORY	ALLEGATIONS & DOCUMENTS	QUESTIONS
1	CAPT Frank Smith, (301) 757-3456	Commanding Officer, COMNAVAIRSYSCOM		20 June 02 - Notify CAPT Smith that you are conducting an investigation.
2	LT Kris Young, (301) 757-8702	Staff Judge Advocate, COMNAVAIRSYSCOM		20 Jun 02 - Notify LT Young that you are conducting an investigation.
3	Lisa Ponds	Subject Matter Expert (SATO)	2	Any restrictions on changing reservations?
4	Taylor Rutkowski (301) 757-2105	Witness	1, 2 Ms. Chase's Travel Orders & Travel Claim	Who requested to attend conference? Who approved?
FOR OFFICIAL USE ONLY - PRIVACY SENSITIVE Any misuse or unauthorized disclosure may result in both civil and criminal penalties.				



Elements of the Plan

Contact List

- Complainants, subjects, and witnesses
- Commanding Officer at subject's command
- XOs, supervisors, local IG office personnel, JAG or OGC attorney, Subject Matter Expert
- Include witness name, title, rank or grade, address, phone # and other pertinent information, to include his/her role in the investigation



Elements of the Plan

Notification List - List of everyone you should inform that you are conducting an IG investigation



- **Notify complainant**, if known, and schedule an interview
- **Notify command IG** (when other than your command)
- **Notify senior management** at the subject's command – do not provide details about the complaint



Elements of the Plan

Background Information

- Origin of the hotline complaint
- Summary of the complaint
- Optional information

Chronology of Events

- Outlines order of events
- Update



Elements of the Plan

Document List

- Identifies the documents you need and acts as a checklist

Interview List

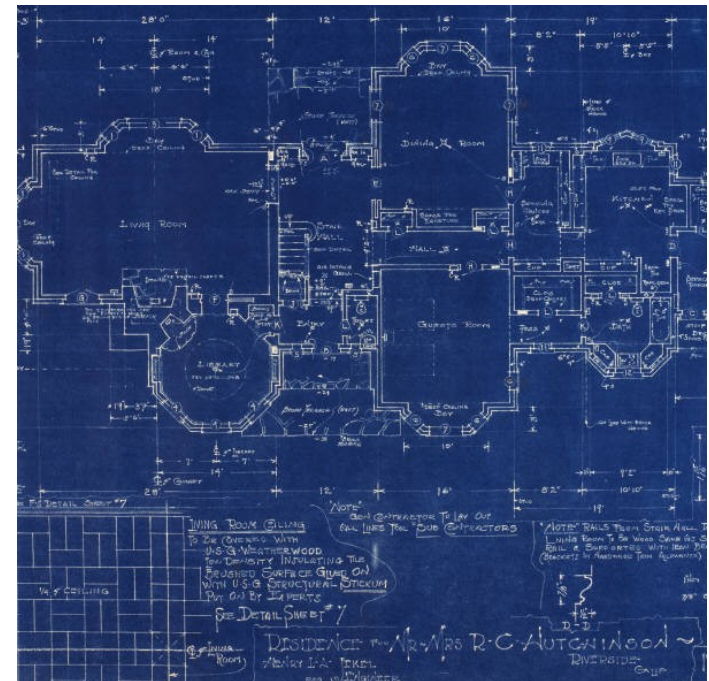
- Each allegation you intend to investigate
- Allegations you refer to another command for action
- Emerging allegations



Elements of the Plan

Outline of Proof

- “Blueprint” / tool
- Helps organize / outline evidence required





Elements of the Plan

Outline of Proof

- Start with the allegation(s) in the complaint (1 outline per allegation)
- Identify the Essential Elements
 - What you need prove or disprove - **Who** did **what** in violation of **what standard** and **when**
- Construct the Table



Elements of the Plan

The complainant alleged Ms. Jane Smith who is a GS-13 at Naval Air Systems Command, used her government computer to conduct a real estate business everyday last month.



Elements of the Plan

The Allegation

Review the Complaint

Who:

Did What:

In violation of what:

When:



Elements of the Plan Construct the Table

**ESSENTIAL
ELEMENTS**

TESTIMONY

DOCUMENTS

OBJECTS

Who

Did What

**In Violation of
What**

When



Remember the Partnership! 3rd Meeting with IO

Why a 3rd meeting?

- Review and approve Investigation Plan
- Discuss any problems
- Assist and discuss logistical needs





Maintain the Plan

- Make a copy for the case file
- Update the Plan continually
- Highlight the pertinent sections
- Modify the allegations, as necessary



Phase 2: Plan the Investigation

Phase 2:

**Plan the
Investigati
on
Completed
!!**

Assign an Investigating Officer

**Mentor and Train the IO
(Establish Partnership -
Investigation Team)**

**Prepare the
Investigation Plan**

Maintain the Plan



Naval Inspector General

Questions??